



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

# 16

In re the application of:

Attorney Docket No.: 3340.05US01

David Sadek et al.

Confirmation No.: 9799

Application No.: 09/869,205

Examiner: Michael B. Holmes

Filed: September 17, 2001

Group Art Unit: 2121

For: MODEL AND METHOD FOR USING AN INTERACTIVE RATIONAL AGENT,  
MULTIAGENT SERVER AND SYSTEM IMPLEMENTING SAME

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
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P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. § 1.56, and in addition to information disclosed in Applicants' Information Disclosure Statement filed June 21, 2001, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached Form PTO-1449. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

All of the references listed, excluding Bretier, P. and M.D. Sadek, A rational agent as a kernel of a cooperative dialogue system: Implementing a logical theory of interaction. ECAI'96 Workshop on Agent Theories, Architectures, and Languages, Budapest, Hungary, pp. 189-203, 1997, are identified in the specification of the application as filed.

10/15/2004 SNAJARRO 00000064 09869205

34 FC:1506

180.00 DP

The reference Sadek, M.D., Foundations of dialogue: Rational interaction. Proceedings of the 4th summer school on Natural Language Processing, pages 229-255, Lannion, France, 1993, is in French. Submitted herewith is an English-language abstract of this reference.

The reference Sadek, M.D., Mental attitudes and foundation of cooperative behavior. Pavard, B., editor, Cooperative systems: of modeling the design, Octares Eds., pages 93-117, 1994, is in French. Submitted herewith is an English-language abstract of this reference.

The reference Sadek, M.D., Mental attitudes and rational interaction: Toward a formal theory of communication. Computer Doctorate thesis, University of Rennes I, France, 1991, is in French. Submitted herewith is an English-language abstract of this reference.

The reference P. Bretier, The cooperative oral communication: Contribution to the logical modeling and implementation of a conversational rational agent. Computer Science Doctoral Thesis, University of Paris XIII, 1995, is in French. Submitted herewith is an English-language abstract of this reference.

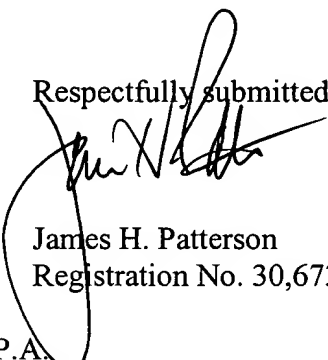
The reference Conseil Scientifique de France Telecom, Technical Memo No. 8: Smart Interfaces and Images, October 1996, page 37-61, is in French. Submitted herewith is an English-language abstract of this reference.

This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Action or Notice of Allowance.

Application No. 09/869,205

Attached is a check in the amount of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(p). Please credit or debit Deposit Account No. 16-0631 as needed to ensure consideration of the disclosed information.

Respectfully submitted,

  
James H. Patterson  
Registration No. 30,673

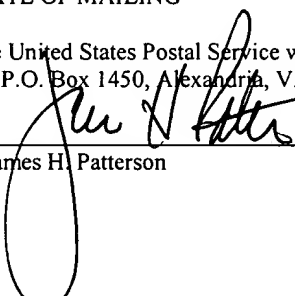
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|  |   |    |   | Application Number     | 09/869,205         |
|  |   |    |   | Filing Date            | September 17, 2001 |
|  |   |    |   | First Named Inventor   | David Sadek et al. |
|  |   |    |   | Art Unit               | 2121               |
|  |   |    |   | Examiner Name          | Michael B. Holmes  |
| Sheet  | 1 | of | 2 | Attorney Docket Number | 3340.05US01        |

### NON PATENT LITERATURE DOCUMENTS

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|----------------------|--------------------------|--|----------------|
|                      |                          | D. Sadek. Dialogue acts are rational plans. Proceedings ESCA Tutorial and Research Workshop on the Structures of Multimodal Dialogue, Maratea, Italy, 1991.  |                |
|                      |                          | Sadek, M.D. A study in the logic of intention. Proceedings of the 3rd Conference on Principles of Knowledge Representation and Reasoning (KR'92), pages 462-473, Cambridge, MA, 1992.  |                |
|                      |                          | Sadek, M.D. [translated from French] Foundations of dialogue: Rational interaction. Proceedings of the 4th summer school on Natural Language Processing, pages 229-255, Lannion, France, 1993.   |                |
|                      |                          | Sadek, M.D. [translated from French] Mental attitudes and foundation of cooperative behavior. Pavard, B., editor, Cooperative systems: of modeling the design, Octares Eds., pages 93-117, 1994.   |                |
|                      |                          | Sadek, M.D. Communication theory = rationality principles + communicative act models. Proceedings of the AAI'94 Workshop on planning for Interagent Communication, Seattle, WA, 1994.  |                |
|                      |                          | Sadek, M.D. Towards a theory of belief reconstruction: Application to communication. In (SPECOM94): 251-263.   |                |
|                      |                          | Sadek, M.D., Ferrieux, A., & Cozannet, A. Towards an artificial agent as the kernel of a spoken dialogue system: A progress report. Proceedings of the AAI'94 Workshop on Integration of Natural Language and Speech Processing, Seattle, WA, 1994.  |                |
|                      |                          | D. Sadek, P. Bretier, V. Cadoret, A. Cozannet, P. Dupont, A. Ferrieux, & F. Panaget: A cooperative spoken dialogue system based on a rational agent model: A first implementation on the AGS application. Proceedings of the ESCA Tutorial and Research Workshop on Spoken Language Systems, Hanstholm, Denmark, 1995. |                |

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This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450.

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|----------------------|--------------------------|--|----------------|
|                      |                          | M.D. Sadek, P. Bretier, & F. Panaget. ARTIMIS: Natural Dialogue Meets Rational Agency. Proceedings 15th International Joint Conference on Artificial Intelligence (IJCAI'97), Nagoya, Japan, pp. 1030-1035, 1997.  |                |
|                      |                          | Sadek, M.D. [translated from French] Mental attitudes and rational interaction: Toward a formal theory of communication. Computer Doctorate thesis, University of Rennes I, France, 1991.  |                |
|                      |                          | P. Bretier, F. Panaget, & D. Sadek. Integrating linguistic capabilities into the formal model of a rational agent: Application to cooperative spoken dialogue. Proceedings of the AAAI'95 Fall Symposium on Rational Agency, Cambridge, MA, 1995.              |                |
|                      |                          | P. Bretier & D. Sadek. Designing and implementing a theory of rational interaction to be the kernel of a cooperative spoken dialogue system. Proceedings of the AAAI'95 Fall Symposium on Rational Agency, Cambridge, MA, 1995.                                |                |
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|                      |                          | Sadek, M.D., Ferrieux A., Cozannet A., Bretier P., Panaget F., & Simonin J. Effective human-computer cooperative spoken dialogues: The AGS demonstrator. In (ISSD 96) (and also Proceedings ICSLP'96 of, Philadelphia, 1996).                                  |                |
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